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| 10/664,531      | 09/17/2003  | Markus Stricker      | 0009922-0007        | 4282             |

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| EXAMINER |
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SHRESTHA, BIJENDRA K

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| ART UNIT | PAPER NUMBER |
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3691

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/664,531

Applicant(s)

STRICKER, MARKUS

Examiner

Bijendra K. Shrestha

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-24 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 17 September 2003 and 02 February 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_.

## DETAILED ACTION

### *Priority*

1. Acknowledgement is made of applicant's claim for priority to Provisional Application 60/413,361 filed on 09/25/2002 under 35 U.S.C. 119(e).

### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claim 1-24 are rejected under 35 U.S.C. 102(b) as being anticipated by Ainsbury et al., U.S. Patent No. 6,078,924 (reference A in attached PTO-892).
4. As per claim 1, Ainsbury et al. teach a method of analyzing financial information comprising:  
  
retrieving a set of user-accessible information for a company from a database (see Table 2; column 2, lines 59-67 to column 3, lines 1-10); and  
  
performing a dynamic financial analysis for said company using said set (see column 7, lines 60-67; column 9, lines 6-24; column 11, lines 25-55).
5. As per claim 2, Ainsbury et al. teach claim 1 as described above. Ainsbury et al. further teach the method wherein

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said step of performing is performed automatically (see column 9, lines 7-14).

6. As per claim 3, Ainsbury et al. teach claim 1 as described above. Ainsbury et al. further teach the method wherein

said step of retrieving is performed automatically (see column 7, lines 43-48; column 13, line 40).

7. As per claim 4, Ainsbury et al. teach claim 1 as described above. Ainsbury et al. further teach the method wherein said step of retrieving comprises:

transforming a data item into a desired format from said set wherein said data item is not available in said desired format in said set (see Fig. 10 and 11; column 9, lines 35-39).

8. As per claim 5, Ainsbury et al. teach claim 1 as described above. Ainsbury et al. further teach the method wherein said step of retrieving comprises:

using a proxy data item when said data item is not available or not usable (see column 6, lines 60-64).

9. As per claim 6, Ainsbury et al. teach claim 1 as described above. Ainsbury et al. further teach the method wherein said step of retrieving comprises:

issuing a request for said set by a means for displaying data (see column 3, lines 27-58).

10. As per claim 7, Ainsbury et al. teach claim 6 as described above. Ainsbury et al. further teach the method wherein said step of retrieving comprises:

said means for displaying data is a web browser (see column 3, lines 28-38).

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11. As per claim 8, Ainsbury et al. teach claim 1 as described above. Ainsbury et al. further teach the method wherein

said set of user-accessible information is a set of public information (see column 13, lines 13-27; column 16, lines 3-9).

12. As per claim 9, Ainsbury et al. teach a financial information analyzer comprising: an information retrieval unit configured to retrieve a set of user-accessible information for a company from a database (see Table 2; column 2, lines 59-67 to column 3, lines 1-10); and

an analyzer configured to perform a dynamic financial analysis for said company using said set (see column 7, lines 60-67; column 9, lines 6-24; column 11, lines 25-55).

13. As per claim 10, Ainsbury et al. teach claim 9 as described above. Claim 10 is rejected under same rational as claim 2 above.

14. As per claim 11, Ainsbury et al. teach claim 9 as described above. Claim 11 is rejected under same rational as claim 3 above.

15. As per claim 12, Ainsbury et al. teach claim 9 as described above. Claim 12 is rejected under same rational as claim 4 above.

16. As per claim 13, Ainsbury et al. teach claim 9 as described above. Claim 13 is rejected under same rational as claim 5 above.

17. As per claim 14, Ainsbury et al. teach claim 9 as described above. Claim 14 is rejected under same rational as claim 6 above.

18. As per claim 15, Ainsbury et al. teach claim 14 as described above. Claim 15 is rejected under same rational as claim 7 above.

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19. As per claim 16, Ainsbury et al. teach claim 9 as described above. Claim 16 is rejected under same rational as claim 8 above.

20. As per claim 17, Ainsbury et al. teach the computer program product comprising:  
a computer usable medium having computer readable program code embodied therein configured to analyze financial data (see Fig. 1), said computer program product comprising:

computer readable code configured to cause a computer to retrieve a set of public information for a company from a database (see Table 2; column 2, lines 59-67 to column 3, lines 1-10); and

computer readable code configured to cause a computer to perform a dynamic financial analysis for said company using said set (see column 7, lines 60-67; column 9, lines 6-24; column 11, lines 25-55).

21. As per claim 18, Ainsbury et al. teach claim 17 as described above. Claim 18 is rejected under same rational as claim 3 above.

22. As per claim 19, Ainsbury et al. teach claim 17 as described above. Claim 19 is rejected under same rational as claim 3 above.

23. As per claim 20, Ainsbury et al. teach claim 17 as described above. Claim 20 is rejected under same rational as claim 4 above.

24. As per claim 21, Ainsbury et al. teach claim 17 as described above. Claim 21 is rejected under same rational as claim 5 above.

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19. As per claim 16, Ainsbury et al. teach claim 9 as described above. Claim 16 is rejected under same rational as claim 8 above.

20. As per claim 17, Ainsbury et al. teach the computer program product comprising:  
a computer usable medium having computer readable program code embodied therein configured to analyze financial data (see Fig. 1), said computer program product comprising:

computer readable code configured to cause a computer to retrieve a set of public information for a company from a database (see Table 2; column 2, lines 59-67 to column 3, lines 1-10); and

computer readable code configured to cause a computer to perform a dynamic financial analysis for said company using said set (see column 7, lines 60-67; column 9, lines 6-24; column 11, lines 25-55).

21. As per claim 18, Ainsbury et al. teach claim 17 as described above. Claim 18 is rejected under same rational as claim 3 above.

22. As per claim 19, Ainsbury et al. teach claim 17 as described above. Claim 19 is rejected under same rational as claim 3 above.

23. As per claim 20, Ainsbury et al. teach claim 17 as described above. Claim 20 is rejected under same rational as claim 4 above.

24. As per claim 21, Ainsbury et al. teach claim 17 as described above. Claim 21 is rejected under same rational as claim 5 above.

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25. As per claim 22, Ainsbury et al. teach claim 17 as described above. Claim 22 is rejected under same rational as claim 6 above.

26. As per claim 23, Ainsbury et al. teach claim 22 as described above.

Claim 23 is rejected under same rational as claim 7 above.

27. As per claim 24, Ainsbury et al. teach claim 17 as described above. Claim 24 is rejected under same rational as claim 8 above.

### ***Conclusion***

28. The prior art made of record and not relied upon is considered pertinent to applicant's disclosures. The following are pertinent to current invention, though not relied upon:

Battas et al. (U.S. Patent No. 6,757,689) teach enabling zero latency enterprise.

Brandon et al. (U.S. Patent No. 6,952,689) teach automating expert knowledge with analyzer harness.

Devine et al. (U.S. Patent No. 6,944,662) teach system and methods providing automatic distributed data retrieval, analysis and reporting services.

Pratt (U.S. Patent No. 5,564,044) teaches integration of result data from first program operations on dynamic source data into data of a second program.

Eick et al. (U.S. Patent No. 5,937,064) teach system and method for interactive visualization, analysis and control of dynamic database.

Holland et al. (U.S. Patent No. 7,146,350) teach static and dynamic assessment procedures.



Huth et al. (U.S. Patent No. 6,704,742) teach database management method and apparatus

Kouchi et al. (U.S. Patent No. 6,026,392) teach data retrieval method and apparatus with multiple source capability.

Kouchi et al. (U.S. Patent No. 5,802,511) teach data retrieval method and apparatus with multiple source capability.

Marshall (U.S. Patent No. 5,774,878) teaches virtual reality generation for use with financial information.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Bijendra K. Shrestha whose telephone number is (571) 270-1374. The examiner can normally be reached on 7:00AM-4:30PM (Monday-Friday); 2nd Friday OFF.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alexander Kalinowski can be reached on (571) 272-6771. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should

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you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

BKS



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